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ABSTRACT

This book provides a personal look at the styles of several school leaders, probes the literature on school leadership, and explores some of the instruments designed to measure leadership style. The introduction explains the need to change leadership styles as education changes. Chapter 1 examines the redefinition of leadership roles and the role of leadership styles in the changing educational system. The second chapter describes two theories--leadership as management and situational leadership. Leadership most effective for rural schools and in reform contexts are described. Instruments to measure leadership styles are discussed in the third chapter, which provides a checklist for selecting a useful measure. Chapter 4 describes leadership roles that will see the greatest change in the future and offers resources for more information. Five figures and chapter endnotes are included. Appendices contain information about 28 leadership styles instruments. (LMI)

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Leadership STYLES

By Anne Lewis

AMERICAN ASSOCIATION OF SCHOOL ADMINISTRATORS

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TABLE OF CONTENTS

PREFACE 1

INTRODUCTION
LEADING CHANGES, CHANGING LEADERS 2
Leaders in Transition 3
Enter Leadership Styles 3

CHAPTER 1
TEARING DOWN WALLS 4
Escape From the Iron Cage 4
Four Critical Skills 6
Big School Picture 7
Wanted: Systemic Thinkers 10
The Role of Leadership Styles 13

CHAPTER 2
THEORIES AND SITUATIONS 16
Leadership Versus Management 16
Different Dimensions 16
Function, Style, or Traits 17
Situational Leadership 21
When the Situation Is Reform 28
Reformers As Leaders 28

CHAPTER 3
WHAT IS MY STYLE? 34
Instruments To Measure Leadership 34
Some Caveats About Styles Measurements 40

CHAPTER 4
BEYOND TINKERING: THE FUTURE OF LEADERSHIP 44
New Breed/New Skills 45
Styling the Training 45
Mastering Fate 46
Where To Learn About Styles 48

PROFILES

Deborah McGriff 5
Richard Wallace 8
Saul Yanofsky 17
Terrence Deal 22
Peter Senge 25
Tom Sergiovanni 27
Michael Ward 30
Patricia Bolanos 31
Marilyn Willis 41
Jerry Parker 46
Thomas Payzant and Bertha Pendleton 51

SIDEBARS

Leading Urban Systems Through Change 10
No Autocrats Allowed 11
Wake Up, Mr. Chips 15
The Rural Leadership Scene 26
The Pluses of an Assessment Center 39
Making Preparation Meaningful 50

CONCLUSION 54

ENDNOTES 55

ACKNOWLEDGMENTS 57

APPENDIX
LEADERSHIP STYLES INSTRUMENTS 58

PREFACE

As a nation, our future depends on the quality of our leadership. Of course, true leaders display a mastery of the content. They are people of substance. In addition, the best, most effective, leaders also have their own unique styles.

How we go about doing things communicates a powerful message to staff and community. It also sends signals to people who want styles to communicate with us. That's why understanding leadership styles is one key to sound leadership.

The world is filled with people who could be described as "analytical," "humanistic/encouraging," "driver-expressive," or "judgmental." One style is not necessarily better than another. In fact, many organizations take pride in having a balance of people representing many styles of leadership.

This book, *Leadership Styles*, provides an up-close-and-personal look at the styles of several school leaders, probes the literature and local school district practice, and explores some of the instruments designed to measure style.

What this publication has to say is an essential building block in our ongoing quest to ensure outstanding leaders for each and every school and school system in our nation.

—American Association of School Administrators

INTRODUCTION

LEADING CHANGES, CHANGING LEADERS

"Within five years, inclusive leadership will be the mainstream. A school administrator unable to function this way will not survive."

—Jerry Parker, Superintendent, Pekin, Ill.

Ever since Moses led the Israelites out of Egypt, the nature of leadership has been a subject of debate, reflection—and introspection. A leadership *style*, or the "way a leader leads," according to researchers Stuart Smith and Philip Piele, on the other hand, is a contemporary invention, growing out of psychology theories of the 1900s.

What differentiates leadership skills from leadership styles? Unfortunately, few agree on a definition of styles. Instead, leadership qualities take shape as a function of questions. Can leadership styles be acquired, or are they determined by personality? Are they present always, or do they arise according to the situation? Is one style better than another? Can any two people have the same style? What factors influence styles?

After reviewing much literature on this subject, styles are as difficult to pin down as mercury. On one hand, leaders appear to be a sum of many skills. They must be efficient, diplomatic, articulate, facilitative. Styles, on the other hand, are the painting created by the brush strokes of skills. Leaders may be dominating and authoritarian or inclusive and democratic. Leadership styles often are described in terms of behaviors. They seem closer to the skin, in a way more a part of one's inherent makeup than a skill, which might be sought after and acquired. Researchers differ on this point as well, however.

In any case, leaders' styles are prismatic; they may change from situation to situation, or be described completely differently by various individuals with whom they interact. In fact, when trying to identify one's style it is important to look at various perspectives, including one's own.

Over the last decade, leadership skills and leadership styles have come together as two sides of the same coin. Thus, it is impossible to entirely separate skills and styles. Gray areas will inevitably surface in this book, as they do in life.

Leaders in Transition

Today, the world is changing in the way our institutions function, requiring leaders to assess their strengths and understand what qualities they need to guide their institutions effectively. Historically, leaders were controllers who managed staff who followed rules without questioning. Today's leaders, however, often are called upon to facilitate group decisions and oversee the "big picture."

Though changes in the business sector are more likely to be in the public eye, transformations in the public sector often follow. Arguably, no institution is more heavily involved in a management upheaval than public education. Managing more than 80,000 buildings in more than 15,000 operating units of government, K–12 public educators alone represent a substantial leadership core.

Because school leaders affect a very large percentage of our population, their responses to changing roles and responsibilities not only may reflect on public education itself, but also might partially determine how well other elements of the public sector reorganize their institutions. Educators could be in the best position to lead on leadership, and self-awareness of leadership styles may help guide the quest.

"Leadership is the ability to influence, to focus the acts and thoughts of others. A leader must have a constituency. I think the characteristics are the same at every level—charisma, confidence, courage, some tolerance for ambiguity. . . I'm not sure how much you can train these qualities, but you can support them with information and experience." [1]

— K.Z. Chavis, member, the Ford Foundation

Enter Leadership Styles

This book attempts to answer a number of questions, including:

- What combinations of skills and styles are needed for effective leadership?
- How do those in charge analyze their strengths and needs?
- Is it more important to understand the situation or personal styles?
- How do individual styles translate to day-to-day leadership?
- How do leadership styles affect others?

CHAPTER 1

TEARING DOWN WALLS

John W. Gardner, in his book-length essay, *Leadership*,[2] compares the example of Moses with the environment of businesses and institutions today. He notes that the kind of leadership needed now in highly complex, bureaucratic systems bears little resemblance to the *Old Testament* leader's once-heralded feat. Today's leader might easily become lost in a desert sandstorm of change.

School administrators are familiar with the literature on how public education copied the leadership and organizational style of businesses earlier in this century. Their own training probably reflected the emphasis on management skills and centralization, derived from the model identified by industrial scientist Franklin Taylor, so aptly applied by Henry Ford and the assembly line. Taylorism breaks down work into discrete assignments; a worker is responsible only for his or her piece of the action. Management is very separate from the "shop floor."

Escape From the Iron Cage

American society was warned by economists and sociologists as far back as the late 1940s that it may not like the "iron cage" it was building, with its specialized division of labor and aloof leadership. Yet, not until Japan emerged as a formidable competitor and with a totally different way of organizing for productivity did businesses start to reexamine the nature of and structure for leadership.

OPTIMIZING THE SYSTEM

Ironically, Japan's mentor for reorganizing production is an American once spurned in his own country—W. Edwards Deming. His "quality" movement, or versions of it (he now criticizes the label Total Quality Management as being too superficial) guide some of the changes in leadership and organization taking place in American business—and, to some extent, in American schools. To Deming, the traditional system of top-down, extrinsically rewarded management destroys initiative and self-esteem. Instead, he says, "the job of management in education, industry, and government is the optimization of a system, not

its fragmentation into Management by Objectives." To Deming, other management evils include quotas; incentive pay; and "business plans put together separately, division by division."

The reexamination of leadership and what makes it effective is far from over and constantly in flux. But the changes in organizations, business and otherwise, already are profound. Some of the transformations have become American legends—the Motorola bottom-up investment in training and initiative and the site-based decision making in the Miami/Dade County public schools, are two examples. These changes did not happen overnight, and sometimes the front-runners of change stumbled. However, these examples are harbingers of permanent leadership transformation because strong leaders emerged who understood that they worked in broad contexts—and in very complex ones.

On Women in the Superintendency:

"Whether you're sincere, a good listener, and an honest person is more important than whether you're a male or female."

— 1991 Superintendent of the Year Carol Grosse

NO GOING BACK

Such strong, effective leadership has been episodic in the past. But as education moves toward systemic change in which the curriculum, teaching and teacher quality, financing, community alignment and resources, and policy making at all levels become part of the whole cloth of restructuring, everyone who heads a school, district, or state agency will be challenged to manage this broad agenda.

MIXING STYLES

In many different urban communities, Deborah McGriff has "taken on jobs that other people did not want to do," she says. But as an administrator in New York City; Cambridge, Massachusetts; and Milwaukee, and now as the superintendent in Detroit, she has learned something about herself from pitching into areas "that were totally messed up." She discovered that "I can change situations. I may not have all of the answers, but I can connect to the information and to the resources that will help us."

McGriff's ambitious goal is to successfully educate all of her district's students.

District design. To work toward accomplishing this, she has shaped a Design for Excellence with four main goals—creating schools of the future, ensuring management and organizational effectiveness, guaranteeing student success, and building community confidence. Such goals call for a variety of leadership skills, but at the core is her "stick-to-it" determination.

Direct when she is asking questions of colleagues, McGriff believes she mixes leadership styles, adjusting them not only to the situation but also to the people involved. "Sometimes my interaction depends upon how long I have been working with a person. If I have been around them only a few months, my style will be very different than if the person is a colleague I have worked with for a long time."

Adapt to individuals. Because she has learned her leadership skills in a variety of school districts and positions, McGriff recognizes when she needs to draw on different skills. Her preference is to be cooperative and inclusive, but she understands that not all people can function that way. For some, "just giving them a task and expecting it to be done won't work," she says. "I have to deal with them in a more structured way."

As the top administrator, McGriff looks for other leaders who have a sense of initiative and a performance record. Someone who actually has turned around a school instead of just talking about it gets her nod. "If they have shown they can accomplish things in a school, they should have the ability to teach those skills to others," she says. She wants leaders respected by their colleagues because of what they have done, "not because of their political contacts." Administrators on McGriff's team must be hard working, give 110 percent, and "have the same passion I have about transforming urban education." She knows she would have a difficult time working with an administrator who finds excuses for not taking on difficult assignments.

Model expectations. The same qualities McGriff seeks in principals and other administrators are the ones she credits with helping her rise in her profession—"enthusiasm, high expectations, energy, passion, vision, a sound philosophy, and no fear of communicating that philosophy."

McGriff admits that some people think her style is too direct and controlling, "but others find it stimulating," she adds. Being a woman at the top stimulates different reactions in colleagues, she admits. McGriff finds it difficult for men—and some women—to separate the administrator roles from social roles, but her answer is that "if you have a problem dealing with me as a woman, that is your problem, not mine."

Four Critical Skills

To John Gardner, professor at Stanford University's Business School, the system extends beyond a leader's particular venue to all of the institutions influencing his or her work. This is the primary skill for leaders in contemporary America—to "understand the kind of world it is and have some acquaintance

with the systems other than their own with which they must work." To function in such a world, Gardner says, leaders need four critical skills:

- **Agreement-building.** Leaders must have skills in conflict resolution, mediation, compromise, and coalition-building. Essential to these activities are the capacity to build trust, judgment, and political skills.
- **Networking.** In a swiftly changing environment, traditional linkages among institutions may no longer serve or may have been disrupted. Leaders must create or recreate the linkages needed to get things done.
- **Exercising nonjurisdictional power.** In an earlier time, corporate or government leaders could exercise almost absolute power over internal decisions. The new leaders must deal on many fronts with groups or constituencies over which they have no control (for educators, that might be taxpayers with no children in the schools). Their power comes from the ability to build consensus and teamwork, and to translate others' ideas into action. They must be sensitive to the media and to public opinion. New leaders use "the power that accrues to those who really understand how the system works and perhaps above all, the power available to anyone skilled in the arts of leadership."
- **Institution-building.** Leaders should not spend their time coping with specific problems—"micromanagement is not the function of leaders." The task of leaders is to understand where the whole system is going and "to institutionalize the problem solving that will get it there."

Big School Picture

But Gardner is not referring specifically to those who lead schools, one might point out. Aren't schools too unique to be compared to big business or big government? Not if the "big picture," or broad-scale change now becoming central to school reorganization, is taken into consideration.

For example, Thomas Glennan, former director of the National Institute of Education and now a senior economist for the RAND Corporation, analyzed more than 150 of the best of nearly 700 proposals submitted for grants from the New American Schools Development Corporation in 1992. Glennan noted that the separate components of the proposals were not revolutionary—few contained truly different ideas. However, the final winners were those proposals that most effectively put all of the pieces together.

EXPANDING THE DEFINITION OF CHANGE

The schools associated with the NASDC effort would require profound systemic change, according to Glennan.[3] The leaders of these schools and districts—and in some cases, states—were pushing toward new horizons in standards and assessment; curriculum and instruction; staffing, staff training and staff development; school organization and governance; integration of technology; and integration of social services with educational services.

Undertaking any one of these tasks in the past might have been enough to qualify someone as a change agent. For today's context, however, leaders will be challenged to push forward in total and complex systems.

HIS STANDARDS STAYED HIGH

Former Pittsburgh Superintendent Richard Wallace couches leadership in broad dimensions. The educational leader in this decade and beyond, he says, must be adroit in educational, civic, and political skills. The competent management of schools continues to be important, says Wallace, but education needs more dynamic leadership "if schools are to meet the educational challenges ahead for our nation."

In Wallace's opinion, a dynamic educational leader will be highly competent in several areas:

- **Aggressively support higher standards.** "They must envision strengthened schools and be able to energize professionals and the community to bring about the conditions that will ensure a high-quality educational product."
- **Articulate to various constituencies their vision of the education process and better outcomes.** A leader must have a sound and well-integrated set of beliefs about what constitutes effective teaching and learning, and be able to communicate it.
- **Able to use assessment procedures effectively.** Good leaders will go beyond standardized test scores and use different indicators to determine the "health" and productivity of a school or district; they will know how to analyze and use data about students and schools, intervening when necessary; they will continually scan data measuring community attitudes.
- **Promote and sustain the continuing development of the professional staff.** Professional development should be comprehensive, sequential, and long-term. In addition, school leaders must communicate its importance in order to obtain continuing support for it.

- **Rally support from the community.** The new school leaders should be knowledgeable about economic and political affairs in order to create links with business and other community sectors. They must be good communicators.
- **Build business and community partnerships.** Effective school leaders involve business leaders in helping to deliver educational programming through school-to-work transitions.
- **Forge strong relationships with social service agencies.** Aggressive school leadership is needed to form comprehensive youth services collaborations to ensure coordinated community resources are available to students and families needing them.
- **Convince policy makers at all levels of the need for adequate school financing.** Educators must wage a continual campaign to help the public see the value of its education system and of coalition building.
- **Establish good working relationships with all employee groups.** Leaders will need "a working knowledge of organizational development principles and practice," as well as knowledge of how to bring about a desire for change among fellow professionals. Leaders also will be inclusive, involving all employees in schools and the district, including support staff, as stakeholders.

Wallace acknowledges that administrators generally are not well prepared for these skills in their formal education. In the early 1990s, he was engaged in developing a better model for administrator preparation at the University of Pittsburgh based on this compendium of skills for the new educational leader.

Pat Crawford, the district's public information officer, describes him as a "visionary."

"He could see years ahead and he could quickly assess a situation at present. He could say, 'Here's where we have to go and how we can get there,'" Crawford says.

Philip Parr, director of development, seconds her comments. "Dick really understands the leader's role is to keep staff focused on the vision—on where we're going. He wanted us all to become problem-seekers, then problem-solvers!

"Things were quite rigorous when I first arrived. At one point, someone complained to (Wallace) about it. He said, 'I believe in equity of pressure. I'm not asking any of you to do anything I'm not,'" Parr adds.

Crawford described Wallace's first major crisis—an asbestos scare in one of the schools. "The community didn't know him. Just the word 'asbestos' in the '80s created alarm. Parents were upset, and staff was upset."

She said at first they intended to downplay the risks. "But right on the spot, he sensed community concern. Because of the emotional environment, he closed the school down and transported all the students to another school for three to four months until the work and plastering were finished."

"If he didn't have his mind made up, he asked everyone for input from all different sources. But if his mind was made up, he trusted his own instincts, and it was very difficult to change his mind after that," Crawford adds.

LEADING URBAN SYSTEMS THROUGH CHANGE

Superintendents who expect to lead large urban school systems toward improvement need to be excellent communicators and coalition makers, agree RAND researchers Paul Hill, Arthur Wise (now head of the National Council on Accreditation of Teacher Education), and Leslie Shapiro. If superintendents see themselves only as traditional fiscal officers, administrators of regulations, or purveyors of educational technologies, they "are unlikely to adapt to the challenges of systemwide change," according to their study of six urban districts in the throes of change. These districts included Atlanta, Memphis, Pittsburgh, Cincinnati, Miami, and San Diego.[4]

An urban superintendent "must be willing to break the school system out of existing goals, priorities, and habits. He or she must be willing to risk losing some traditional powers and status, to live with the disapproval of other important school officials, and to accept the risk that the entire effort might fail."

In addition to being the school system's major point person for mobilizing community and business support, the six superintendents studied had similar ways of organizing for change internally, including:

- **Increase the flow of information.** By keeping their priorities and accomplishments in the media's eye, leaders reinforce the belief that the schools still need help. The superintendents believed any area of school policy that is continually tracked and assessed will get attention.
- **Involve principals.** The superintendents managed school change by working closely with school principals. They tried to remove organizational barriers between themselves and principals. This relationship "reemphasized the idea that the principal, responsible for the whole school, reports only to administrators with comparably broad concerns."
- **Use "tight-lose" control.** The superintendents were explicit and controlling about values and priorities, but they gave subordinates room to create their own tactical solutions to problems. They modeled professionalism and treated teachers and administrators as collegial professionals.

Wanted: Systemic Thinkers

When the Education Commission of the States conducted in-depth interviews with educators and business leaders at all levels to determine the status of educational reform in 1991, it discovered some hard truths about leadership. Estimating that only 3–5 percent of schools are "seriously engaged" in making significant changes in school and classroom practice, ECS said there is a lot

of talk about reforming the system, but few know how to think and solve problems systemically.[5] Its survey found that:

- Educators and administrators in particular tend to focus on problems and solutions as unique to their setting rather than as related to the education system as a whole.
- Lawmakers tend to make policy piecemeal.
- Policy makers, educators, and others tend to see the education system in isolation from other systems in society serving children.
- Efforts labeled "restructuring" often are just superficial changes in the old system.

Despite the obstacles, ECS found a growing recognition of the need to think about all of the pieces of reform as being part of a whole. Perhaps the greatest proof of acceptance of the need for change, said ECS, is the fact that school reform leadership is now high on the list of skills boards look for when hiring.

NO AUTOCRATS ALLOWED

Many school leaders are having a tough time keeping some perspective while change eddies about them. And it will not get any easier soon, organizational consultant Donald Rollie believes. "It is not surprising that they are struggling, because not only are they being asked to change their leadership skills and style, but the whole culture is changing around them at the same time," he explains.

Because he has seen school leadership issues through different lenses, Rollie understands the pressures and the resulting squeeze school-site administrators feel. A former teacher, Rollie headed education associations in Idaho and North Dakota. Today, he advises a network of principals participating in the urban middle school reform project of the Edna McConnell Clark Foundation, among others.

While leadership skills always have been a concern of professionals in the education field, today's times are unprecedented, according to Rollie. For starters—"those who do not learn new behaviors will be run from the profession," Rollie says. The dominant leadership skills in school administration will never return to those who are directive or authoritarian; or involve simple decision making. "Administrators who are having the most difficulty in the current context of school change," he says, "are those at the autocratic end of style inventories."

Typically, he says, organizations in this country have been hierarchical, the education system included. This is the culture in which most administrators grew up and learned their profession—"it is all they have ever known." On the surface, this way of organizing is more efficient, but it is not productive in the long run, and certainly not in the highly competitive world of business today.

"The school systems that have done the best job generally have been led by courageous, visionary superintendents who have been able to gain the support of all their constituents, including teacher groups," he explains.

Paradigm shift needed. When change is under way, principals can be caught in a squeeze play, according to Rollie, if the top leadership and the teaching staff are not moving in the same direction at about the same pace. As middle managers, principals' skills must shift to managing group processes rather than only focusing on making decisions.

For four years Rollie has watched the 12 principals in the Clark network learn to cope with new roles and skills gained by their participation in the foundation's reform effort, while they carried on traditional management responsibilities at the school site. It was four years before changes became evident in the classrooms of the middle schools, according to Rollie. Genuine reforms take time "and are messy because there are no models," he says. As the principals worked with the reform process, their leadership skills necessarily changed. They learned to:

- **Set priorities.** Initially, the principals juggled their day-to-day duties, the extra burdens of working with poor children and families, and the multitude of ideas and programs paraded through the schools by the Clark project. They learned they needed to set priorities that fit with the overall visions for their schools.
- **Collaborate, cooperate, and listen.** The principals came to understand that it was easier to set priorities "if they were surrounded by staff resonating with the directions needed for the school than if they tried to make those decisions themselves."
- **Carve out time for reflection.** Rollie believes understanding one's leadership style is important, but once professionals take a self-assessment, they often then leave out an important part—"reflecting on what their leadership style means to them." Without reflection, school leaders cannot apply what they have learned about themselves. But taking the time to do this must be a deliberate act, Rollie advises. Administrators need to set aside time on a regular basis to think about how they are making decisions and what skills they are using.

Rollie predicts the move to school-site management is irreversible, as is the building of closer ties between schools and their community resources. This is a new dimension to school building leadership—and to changes at the top, he says. Superintendents traditionally have been the sensors of the community, the lead person for community relations. That role is now shared more fully by principals, Rollie believes, just as schools are assuming more of a role as the neighborhood center, especially in urban areas. Principals must become not only collaborators, but also intermediaries between school faculties and communities.

From Rollie's work with the Clark network and other school organizations, he concludes that successful principals must develop collegial styles. "This does not mean they have to relinquish decision making, but that they must come to decisions in a different way," he says. The new skills are those of collaborator, communicator, and ombudsperson.

Acquired traits. How to learn these new skills poses problems. Today's administrators generally are not trained for collaboration, according to Rollie, although he sees some evidence that graduate schools of education are becoming more aware of the need to prepare administrators for collaborative organizations. Meanwhile, Rollie suggests going outside the formal education system and using workshops, networks, and institutes to develop new skills.

He predicts school administrators, by the end of this decade, will be working in a context that greatly accepts site-based management, emphasizes and strengthens the current school reform movement, values collaboration and cooperation, and depends on staff development at the school site. In the future, too, colleges will be much more capable of producing collaborative leaders.

"The day is over when a person could get an M.A. and walk into a building and stay there 15 years without systemic renewal," Rollie insists.

The Role of Leadership Styles

Accepting change and helping others do the same is the dual challenge for school leaders today. Neither can happen without knowing how to go about setting personal and institutional goals, gathering information, sharing it, making decisions, involving others in decisions, and supporting others' decisions. Knowing one's style of leadership is essential to functioning successfully as a leader, particularly when, as consultant Donald Rollie points out, the familiar culture is changing so rapidly. Self-understanding is an anchor for leaders in the change maelstrom.

Knowing one's style or styles is not enough to make one a good leader, however, argues Scott Thompson, executive secretary of the National Policy Board for Educational Administration. Regardless of the leadership style, he says, all leaders must have certain skills, including motivating people, planning and organizing, being a good communicator, knowing instruction, and evaluating people and instruction. "The focus should be on knowledge," he advises.

Teachers as leaders. Early in the change process, educators must understand that leadership is not reserved for administrators alone. Because of broad-based decision making within schools, it is just as important for teachers and other educators to evaluate their leadership capabilities and adapt them to different ways of working with peers, parents, students, and the community.

LEADERSHIP IN CONTEXT

Because leadership styles, as a subject for research, is in its infancy, theories abound, as the next chapter explains. Furthermore, the theoretical base includes

an important argument over whether leadership styles develop as a more or less permanent mode of acting or are greatly influenced by the context of a situation. This is an interesting and as yet unsolved debate.

Reaction time. What is meant by leadership styles? Some believe a definition can be sifted out of looking at the basic ways persons react to situations. In sum, say Pat Burke Guild and Stephen Garger, authors of *Marching to Different Drummers*, "people have differences in the ways they perceive, think, process knowledge, feel, and behave."

Guild and Garger say there are at least four categories of situational reactions:[6]

- **Cognition**, or "How do I know?" People perceive in different ways; for some, it is always through the concrete, for others it is by imagination. Some see a part, others always see the whole. People gain information differently also, when they sense, read, listen, or experience concretely.

- **Conceptualization**, or "How do I think?" People use the knowledge they gather differently. Some are always looking for connections, others use an idea or thought to become more divergent in their thinking. Some organize knowledge sequentially, others use it to form random patterns.

- **Affect**, or "How do I decide?" Individual styles reflect differences in motivation, judgments, values, and emotional responses. Some want most to please others, while others act for themselves. For some, emotions color all they do, while others prefer to be reserved.

- **Behavior**, or "How do I act?" The cognitive, conceptual, and affective patterns determine behavior, say Guild and Garger. A person who conceptualizes things as sequential probably will move step by step. One who is a concrete learner probably is most comfortable in a structured situation.

NATURE OR NURTURE

German psychologists at the beginning of this century launched the field of personality differences, leading eventually to investigations of leadership styles and to debates over whether they are inherited or acquired. According to researchers Jo Ann Mazzarella and Stuart C. Smith, recent studies of effective leaders accommodate both ideas—"leadership ability is partly learned and partly inborn."[7] Most studies indicate that individuals grow into their leadership positions based on learned values and experiences, and socioeconomic variables. Interestingly, a 1960 study by researcher Bernard Bass, too, shows that the majority of leaders have above-average, but not extraordinarily high, IQs.

WAKE UP, MR. CHIPS

"Today's superintendents do issue directives, but they must also promote the common good by articulating shared values. They do advocate their personal visions, but they must also work with others to develop shared visions and to seek out common ground. They do provide answers, but they must also persistently seek to ask the right questions. They do persuade, but they must also listen carefully and consult widely before making decisions. They do exercise their authority, but they must also depend on others and motivate action through genuine caring, commitment, and trust.

"The effective superintendent, then, must be both a tough manager with solutions and a caring educator who listens—who is an active learner, an enabler, a catalyst who makes good things happen for children. Welcome back, Mr. Chips, but to a vastly more complicated world."

"Superintendents as Saviors: From the Terminator to Pogo," Jerome T. Murphy, *Phi Delta Kappan*, March 1991

CHAPTER 2

THEORIES AND SITUATIONS

Pinning down an absolute connection between leadership styles and more effective school organizations is a slippery process, indeed. While leadership issues concern many researchers, not only in education but also in psychology and management, little data are available to show how leadership specifically affects changes in schools or school districts. Theories abound, however.

Name-calling. According to researchers at the University of Oregon, leadership theory "has stumbled through the trait, behavioral, and situational approaches and the images of leader as orchestra conductor, quarterback, prince, hero, superman, spiny creature and Wizard of Oz." Some early discussions of leadership styles placed people into categories such as: innovator, early adopter, adopter, late adopter, and laggard.

A "consumer's guide" to assessing leadership, prepared by Judith Arter for the Northwest Regional Educational Laboratory (see Figure II-A on page 18),[8] addresses the issue of definitions of leadership through four major dimensions.

Leadership Versus Management

Some researchers narrowly define leadership as mostly visionary and charismatic, even going so far as to say well-functioning schools may not need leaders as much as they need managers. Others contend that leadership is essential, especially regarding instruction.

Different Dimensions

A two-dimensional view of leadership is popular, the theory being that leadership basically is expressed through two styles—task-oriented and person-oriented. People who score high on both are the best leaders, say the proponents of this theory. Others believe there are many dimensions of leadership; people may score high on some and low on others, the combination becoming their style of leadership.

Function, Style, or Traits

Those who define leadership by function tend to list all the tasks school leaders need to do. If leadership is described by what needs to be done, says Arter, "then assessing leadership boils down to seeing how well the leader does those tasks." Styles and traits, however, tend to depend upon personality.

Some major theories of styles include task orientation versus the personal orientation—Theory X versus Theory Y. Theory X views mankind as untrustworthy, lazy, and needing constant direction. Theory Y, however, says human beings are trustworthy and inherently motivated. It touts leaders who are directive or supportive, achievement oriented or participative.

Traits are more descriptive of personal behavior, such as tolerance for ambiguity or stress, values, and self-confidence.

Analyzing a dozen theories of leadership styles, Jo Ann Mazzarella and Stuart C. Smith note that on the surface styles seem to have much in common. Certainly, there are major groupings along the lines of both task and human relations. However, the similarities end there. For example, it might be assumed that leadership styles stressing human relations would be compatible with those focusing on participative decision making, yet some researchers contend a leader with a "democratic" style also must be skillful at task orientation.[9]

Mazzarella and Smith say it is too early for an overarching theory of leadership. Important questions remain to be answered, such as whether people can change their leadership styles and what should be the most important aspects of style. They decided the most helpful approach at this point is to summarize what is available.

LEADING IN TWO WORLDS

Soft-voiced, sharp-eyed Saul Yanofsky, superintendent of the White Plains, New York, School District, is a good example of a leader who is both task- and person-oriented. He has to be, as head of a highly innovative school district with what many consider to be a good racial balance.

"Recently, I asked him to come talk to my council about his leadership experiences in White Plains. Everybody in the room warmed to his generous nature, his obvious understanding of school issues, and his gentle self-deprecating wit. By the end of his time in the room, everyone wanted to work for him. He came across as someone you could trust," says Norman Colb, superintendent of Mamaroneck New York.

(Continued on page 20)

FIGURE II-A: COMPARISON OF LEADERSHIP STYLE THEORIES

Dimensions	Authors	How Many Styles?	What Kinds of Styles?
Decision-Making	Tannenbaum and Schmidt	2	*Decision-Making* "Subordinate-centered vs. boss-centered" (Democratic vs. autocratic) (former most effective)
	Bonoma and Slevin	4	*Decision-Making* Four possible styles: autocrat, consultative manager, consultative autocrat, shareholder (all but the last are effective)
Perception of Employees	McGregor	2	*Views of Employees* Theory X (need extrinsic motivators) vs. Theory Y (self-motivated) (Latter view most effective)
Task and Human Relations	Halpin	2	*Task and Human Relations* Concern for initiating structure or consideration
	Fiedler	2	*Task and Human Relations* Task-oriented vs. human-relationship-oriented (either can be effective)
	Reddin	4	*Task and Human Relations* Four combinations of human relations orientation and task orientation. Four possible styles: integrated, separated, related, dedicated (each can be effective)
	Gates, Blanchard, and Hersey	4	*Task and Human Relations* (both can be effective)
	Blanchard, Zigarmi, and Zigarmi	4	*Task and Human Relations* Four combinations of directive and supportive behaviors: directing, coaching, supporting, delegating (each can be effective)
	Sergiovanni and Elliott	4	*Task and Human Relations* (same as Reddin above) Integrated, separated, related, dedicated (each can be effective)
Innovation and Risk Taking	Hall and others, Hord and Hall	3	*Change Facilitator Styles* Initiator (most effective at implementing change), manager, responder
	Miskel		Several, including risk-taking propensity of leaders

Are Styles Mutually Exclusive?	Do Styles Vary with Situations?	What Are the Components of the Situation?	Is the Leader's Style Flexible?
Yes (leader cannot use both at the same time)	Yes	Forces in the manager, forces in the subordinates, and forces in the situation	Yes (leader chooses the style appropriate at the time)
No (all possible combinations of the styles are possible)	Yes	Where authority is placed and where information comes from	Yes
Yes	No	Not applicable	Not applicable
No (effective leaders have both concerns)	Not applicable	Not applicable	Not applicable
Yes	Yes	Most important component is leader situational control, made up of position power, leader-member relations, task structure	No
No	Yes	Organizational philosophy, technology, superior, coworkers, subordinates	Some leaders are flexible and some are not
Yes (although leader can change from one to the other, does not use both simultaneously)	Yes	Follower maturity	Yes (must change with time)
No	Yes	Follower developmental level—competence and commitment	Yes (leader varies style with each follower and each task)
No	Yes	Demands of the job, nature and distribution of power and authority, expectations held by significant others	Usually no, and not without great difficulty
No	No	Not applicable	No
Not applicable	Yes	Leader's years of experience and innovative management techniques	Not applicable

(Yanofsky, cont.)

The White Plains district is paving the way on early childhood services, and its commitment to change such as this brought it to the attention of the National Alliance for Restructuring Education. It is now part of that network.

Yanofsky provides leadership on a broad array of initiatives, knitted into a whole view of child development, in what he describes as an interactive style. "I believe the decisions are always stronger the more people are involved in making them," he says.

In the past, Yanofsky has used some standard leadership style measurements for self-analysis, but essentially they never changed his way of interacting with people or his values. He believes characteristics have been built up over time during his careers as a teacher, researcher, and administrator.

Before his time. Always interested in dealing with ideas and in seeking better ways to teach, Yanofsky decided early on that only whole school change ultimately is effective. As a young teacher, he helped develop an innovative new social studies program that stressed analytical concepts through public controversies. That kind of problem solving and critical thinking would stand out in today's curriculum reform environment. But 25 years ago at the Cambridge, Massachusetts, high school where Yanofsky tried it out, the curriculum failed, even though students truly liked it. "It turned out to be too tough for teachers because they were asking kids to exhibit learning behaviors they were not required to do anywhere else in school," he recalls.

Yanofsky's interest in helping whole schools move on change was honed when he became part of a Harvard Graduate School of Education "lunch bunch" of reform-minded future administrators. This small group, calling itself the Clinical School Collaborative, designed an ideal high school incorporating training, research, and staff development. Such a school later was opened in Portland, Oregon, by several members of the collaborative. Some of the "lunch bunch" worked together again years later as staff members of the former National Institute of Education.

Research-minded. This lifelong professional commitment to using research as a tool to move whole systems is one of the major leadership skills Yanofsky believes he brings to the job of superintendent. He wants schools to articulate more forcefully what they want from the research and development community, and he bridges the two worlds with his own background and interests. Only by using the best research and knowledge of practice can all aspects of schooling become part of change, he says.

Hitching onto the White Plains district's choice and desegregation plans, which Yanofsky helped develop before becoming superintendent, he has decentralized decision making to the schools, with the staffs given a mandate to make every school different.

Finding complements. The superintendent knows he is good at sharing research knowledge and encouraging others to change. His style is to "look for people to share in the administration who are strong in the areas I am not good at."

Being interactive has its down sides, Yanofsky admits, particularly when hard decision making must take place during financial trouble spots. When budgets are slashed—as

has happened in White Plains—it gives the "perception that I am not providing strong direction," Yanofsky says. He believes, however, the decisions are moving as they should, even though it may take longer to reach consensus than if he changed his style and became more autocratic.

Many support his tougher decisions, despite Yanofsky's concerns to the contrary. "He asks you to take risks but you always have the feeling he'll be there for you. He models risk-taking. He instills that kind of trust," Colb says.

"He has a capacity to gain confidence because of a personal integrity that is apparent to everyone. He's one of the few wise people I have ever known," agrees Marc Tucker, president of the National Center on Education and the Economy, based in Rochester, New York. "He's a very good listener and does not make snap judgments about people. One of his secrets of surmounting problems I believe is that he is interested only in the greater good. He has the capacity to submerge his own ego and push someone else into the foreground in order to accomplish the desired goal."

Situational Leadership

Another group of theories about leadership skills contends it is defined not by the style, but by the situation. In short, the leadership style depends on the circumstances.

Researchers and theorists working in this area have much to mine in listing possible situations. Mazzarella and Smith describe a number of elements in a situation,[10] including status, leader-member relations, task structure (Fred Fiedler), organizational philosophy, superiors, coworkers, and subordinates (William Reddin).

Styles combine task orientation and person orientation. They also may or may not work, depending on the situation; "forces" in the manager, subordinates or the situation; and a focus on "follower maturity" (capacity to set and attain high goals, willingness to take responsibility, education, or experience).

SUITING THE OCCASION

Like Mazzarella and Smith, leadership consultants Kenneth Blanchard, Drea Zigarmi, and Patricia Zigarmi argue against an either/or stance on leadership styles—that one is either autocratic (directive) or democratic (supportive). In many situations, they say, leaders rightfully show combinations of these extremes, which fall into four basic leadership patterns.

"There are a number of situational variables that influence which leadership style will be appropriate in which situation," they wrote in the *Elementary Principal*.[11] These include time constraints, job and task demands, school climate and culture, and employees' skills and expectations.

The most important factor in determining style in a given situation, however, is the "development level" of those being supervised. For example, as Figure II-B on page 23 shows, very competent and committed subordinates may respond better to a leader who delegates and supports, rather than to one who coaches and directs. This, too, may be situational. An interesting question based on this assumption would be, which comes first? Do highly supportive leaders foster competent and committed subordinates?

This Situational Leadership II model is part of the National Association of Elementary School Principals' Certificate of Advanced Proficiency curriculum.

THE LAW OF THE JUNGLE?

Terrence Deal's problem with leadership styles is they remind him too much of the latest fad in clothing. "People in schools know that if they wait long enough, the narrow tie will come around again," says this Vanderbilt University professor and author of several books on organizational behavior. Further, those in the trenches (school staffs) "are sick to death of helping their leaders find their style."

Leaders need to return to using their common sense, Deal says. For him, that means understanding what is going on in organizations, making sense of the situation, and then making things happen.

Deal and his colleague, Lee Bolman, studying an international sample of principals, hospital administrators, and corporate executives, developed four frameworks for organizations that correspond to the skills shown by leaders:

- **Structural.** School leaders falling under this frame are goal setters. They value efficiency, analysis, and data, while keeping a close eye on the bottom line. These leaders are good at giving clear directions and holding people accountable. They lead through policies, rules, and a chain of command. Organizations led by these leaders tend to have a "factory" culture.
- **Human resources.** People are paramount to the human resources leader. Their feelings, needs, and values take precedence over day-to-day problems; indeed, leaders in this category believe that if the people within the school "family" are taken care of, the organization will run smoothly as a result. School leaders in this mode serve as counselors, catalysts, and servants. In other words, they support, empower, and facilitate the work of others.
- **Political.** Leaders in this frame see the systems in which they work as "jungles" fraught with competition for scarce resources. These types of leaders make good advocates and negotiators; they are skilled at networking, creating coalitions, building power bases, and working out compromises.

FIGURE II-B

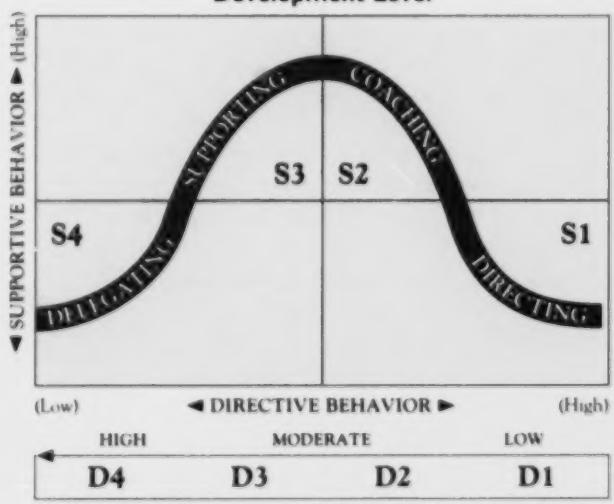
The Four Basic Leadership Styles

High Supportive Low Directive Behavior (Supporting) **S3**	High Directive High Supportive Behavior (Coaching) **S2**
Low Supportive Low Directive Behavior (Delegating) **S4**	High Directive Low Supportive Behavior (Directing) **S1**

Development Levels

High Competence • High Commitment	High Competence • Variable Commitment	Some Competence • Low Commitment	Low Competence • High Commitment
D4	**D3**	**D2**	**D1**

Development Level



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- **Symbolic.** To the symbolic leader, facts are only as true as they are perceived by individuals. Cultural symbols, then, provide "a shared sense of mission and identity." Leaders in this category often are charismatic. They are inspiring, by being both prophets and poets, according to Deal.

Deal and Bolman's leadership frameworks are depicted in Figure II-C:[12]

FIGURE II-C: REFRAMING LEADERSHIP

Frame	Leader is:	Leadership Process
Structural	Social architect	Analysis, design
Human resource	Catalyst, servant	Support, empowerment
Political	Advocate	Advocacy, coalition building
Symbolic	Prophet, poet	Inspiration, framing leadership

"What we found worldwide," says Deal, "is that most people look at the world through only one lens. When things come up that are troubling to them which they don't understand, they don't know what to do."

Using the factory, or structural, lens can produce effective management, Deal says, particularly combined with contributions by the human resources and political leaders. But by itself, the structural lens is the least useful. "The most powerful force in leadership is symbolic," Deal says.

Yet, he and Bolman point out that most of an administrator or manager's education emphasizes the structural lens, focusing on management, not on leadership. Few are truly able to inspire others.

The matter at hand. Deal works to infuse leaders with more varied lenses. "We need to try to help leaders look through situations with more than one view and adjust their style to the specific task at hand."

Taking on other roles should be approached with caution, however. To tell a person who looks at things structurally that the best style to have is management by "walking around" is to create havoc, Deal says. Employees may fear the leader's sudden change of heart and see it as snooping or looking over their shoulders.

No one an island. To focus leadership training on self-understanding also is a misreading of the nature of leadership in organizations, Deal says. "That presumes the leader is a knight in shining armor, one who makes all the difference in the world. That gets a person caught up in the idea a leader can do all on his or her own."

On TQM. Deal speculates that total quality management could become another educational fad. However, he hopes it will contribute to the continuity he believes schools need desperately.

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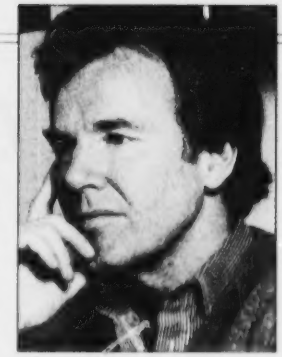
A DISCIPLINED INDIVIDUAL



"Learning organization" is exactly the term used by a leading proponent of situational leadership, Peter Senge. Director of the Systems Thinking and Organizational Learning Program at the Sloan School of Management at the Massachusetts Institute of Technology, Senge contends that an organization's ability to learn is its only source of a competitive edge. A learning organization, as he describes in his book *The Fifth Discipline*,[1] has five disciplines:

1. **Building shared vision.** Instead of using a charismatic but dictatorial approach, leaders work toward a shared vision that encourages commitment, rather than compliance.
2. **Personal mastery.** Learning organizations foster learning individuals who are constantly clarifying and intensifying their visions and skills.
3. **Mental models.** A learning organization encourages thinking about thinking, avoiding the pitfall of becoming stuck with "dysfunctional assumptions and ways of operating."
4. **Team learning.** Real teams says Senge, "are aligned around a common purpose and truly learn how to think together;" they are open and inclusive, avoiding a "cult" mentality.
5. **Systems thinking.** This integrates the other four disciplines, going beyond the events to discover the deeper structures that control events and how to leverage them (akin somewhat to Deal's emphasis on looking at organizations through different lenses).

No culprits. Applying his ideas to education, Senge believes the prevailing system of management in schools "is killing off the intrinsic motivation to learn." All children come to school wanting to learn, he says, so the leadership question becomes "not how to motivate them but how to keep the motivation they already have." When children fail to learn, the "kneejerk reaction" is to look for culprits—the students, mediocre teachers—when the real problem is the system itself, he says.

The way to build a successful school, according to Senge, is to do it "with people who truly want to be there, who love what they do." That environment can only be built by leaders who see the school as a whole and who create a place where teachers can learn—a learning organization, that is. The difference between an unsuccessful school and one that is a learning organization is that the former concentrates on solving problems. The latter, says Senge, is involved in creating something new.

THE RURAL LEADERSHIP SCENE

Do leaders of small districts have styles different from their counterparts in larger districts? Or does their environment determine how they lead?

Both may be true, according to Donal Lueder of Winthrop College in Rock Hill, South Carolina.

Using the Myers-Briggs Type Indicator (see Chapter 3 for more information), Lueder surveyed small district administrators named by the magazine *Executive Educator* as noteworthy among the leadership of small schools. Their responses were then compared to a bank of data on random school administrators.

Lueder found that the largest percentage of the small school administrators studied—about 20 percent—were extraverted, intuitive, thinking, judging types. Another 13 percent were extraverted, sensing, thinking, and judging. Almost 40 percent had a "Visionary Rational" leadership style. This means, according to Lueder, that they "seek facts and information from many sources and prefer to use facts to develop more possibilities and alternatives in approaching a problem situation."

Visionary Rationals, he says, are concerned with school and districtwide implications and are more apt to think about what happens in the future. While they seek information, they may not always follow policies or conform to traditional rules. They like figuring out the "why" and dealing with new ideas. They can delegate; they include others in making decisions.

In many ways, the small district administrators were similar to executives of very large systems, Lueder noted. But because more than 60 percent of the small district administrators showed evidence of at least three other psychological leadership styles, he suggests that certain styles may work better in certain situations.

"Inservice and preservice leadership programs should include training in psychological type and be the foundation for all administrative training," Lueder added.

Nothing personal. A somewhat different picture emerges from Richard and Patricia Schmuck's study of 25 small-town school leaders in Oregon, which focused more on accomplishments than on psychological styles. Here, school leaders most often mentioned erecting or remodeling facilities, managing budgets, initiating curriculum development, and hiring and firing personnel as accomplishments.

This may mean small school superintendents, unlike urban administrators, are not particularly preoccupied with interpersonal conflicts, say the Schmucks. If true, it may be because leaders in smaller schools, in contrast to their counterparts in urban districts, have to attend personally to a broader range of responsibilities, with little or no assistance.

AN ARGUMENT FOR MORAL LEADERSHIP

Most theories about leadership styles do not appeal to Tom Sergiovanni, professor of education and administration at Trinity University in San Antonio. Once a strong proponent of leadership skills, he now favors substituting for them true professionalism. If done right, the latter would negate the need for leadership and its push-pull efforts to make people change. Perhaps Sergiovanni's beliefs are best summed up by the title of his most recent book, *Moral Leadership—Getting to the Heart of School Improvement.*[14]

Many virtues. Professionalism is more than competence, he says. To competence must be added virtue. Professional virtue in teaching means being committed to:

- Exemplary practice
- Practice toward valued social ends
- Not only one's own practice but to the practice of teaching itself
- The ethic of caring.

The traditional organization—and ethos—of schools is based on management theories that emphasize material and psychological rewards, says Sergiovanni, which he says is no way to run a learning community. Neither bureaucratic nor personal authority create intrinsic reasons for people to follow leadership. Rather, he argues, "we ought to follow our leaders because they're people of substance, because they have compelling ideas, because they're able to share with us insights." Those who make a commitment to ideas and ideals together then "have a moral obligation to meet . . . commitments to those ideas."

Schools today are run on a psychological contract that says, "what gets rewarded gets done." Instead, says Sergiovanni, the motivation should be: "What is rewarding gets done."

"In this together" mentality. Sergiovanni also would substitute "community" for "organization." When schools are communities, he says, "they're no longer driven exclusively by the requirements of hierarchy and the clever use of personal leadership. The primary forces are our values and purposes. When this happens, a new kind of hierarchy emerges, one that places ideas at the apex; and principals, teachers, parents, students, and others all below as followers. As values come into place, the school begins to be shaped as a community."

In Sergiovanni's conception of schools as communities, he sees them as:

- **Purposeful**, with shared goals, values and commitments.

- **Learning communities**, in which everyone is committed to learning and to helping each other learn.
- **Caring communities** committed to solving the problems faced by everyone in the school.
- **Professional communities.**

The American public may share Sergiovanni's view. A 1993 analysis of a poll commissioned by the American Association of School Administrators found the public wary of the "politicization" of education. Most still want to perceive education and educators as altruistic.

When the Situation Is Reform

As this chapter illustrates, most of the thinking and theories about educational leadership have focused on principals and schools. For school administration in general, this focus is helpful because it provides a research base for where the education reform action may be headed. Furthermore, the AASA study indicated that the closer changes are seen to affect classrooms, the more the public will support them. The public's "lens" is the everyday life of classroom learning.

The devolution of authority to school sites, however, does not contradict the equally strong interest in broader systemic change. Leadership styles are just as evident in larger contexts—the big picture rather than in small, isolated pieces of it.

Reformers As Leaders

Leaders in restructuring schools are very different from their counterparts in schools not yet affected by reforms, according to a report of the National LEADership Network Study Group on Restructuring Schools.[15] When surrounded by reform, school leaders develop a new set of skills, some of them quite radical from traditional ones. The report says leaders in reform environments tend to:

- **Create dissonance.** New leaders constantly remind staff and others of the gap between the vision they have for their children and their current accomplishments; not to blame, but to show direction.
- **Prepare for and create opportunities.** They pursue opportunities that will move the school closer to the accomplishment of its mission and ignore those that do not.

- **Forge connections and create interdependencies.** They create new roles and relationships, seeking to connect teachers within and across disciplines and to connect people inside and outside of the school community to one another.
- **Encourage risk taking.** Leaders of restructuring schools make people comfortable with trying new approaches and sometimes making mistakes and learning from them.
- **Follow as well as lead.** Leaders nurture leadership behaviors in all staff and lead through service rather than position.
- **Use information.** Leaders use a wide variety of information about student and organizational performance; they create new ways of measuring; they use research to guide innovation and change; they monitor and document the change process.
- **Foster the long view.** Although they may work incrementally, it is within a long-range, comprehensive design.
- **Acquire resources.** They are adept at uncovering resources, finding alternative ways of using available resources, and finding time for staff to plan and develop.
- **Negotiate for win-win outcomes.** They use the collective bargaining process to forge new professional agreements compatible with restructuring.
- **Employ change strategies.** Leaders put together the right mix of strategies and tactics to keep reform on track through all stages. As change strategists, they recognize the dynamics of their organization and determine its potential for change.
- **Provide stability in change.** Leaders of restructuring build a fortress within which changes can take place. They provide order and direction in an ambiguous and uncertain environment.
- **Make staff development a priority.** Leaders help staff move, in their thinking and behavior, beyond the limits of their own experience. They invest heavily in staff development.

A 1993 analysis of a poll commissioned by the American Association of School Administrators found the public wary of the "politicization" of education. Most still want to perceive education and educators as altruistic.

Leaders involved in school reform, says the report, "spend their time differently, allocating extra time to enhancing the health of the organization and focusing on people inside and outside the school who can help to achieve its mission and goals. . . . Sure of purpose but uncertain about plans, they engage others in exercises of faith as well as technique, of human development as well as attention to operational detail."

WHERE THE TALK IS ABOUT LEADERSHIP

Administrators in the Granville County, North Carolina, school system know many of their meetings with the superintendent will not be ordinary. Instead of discussing the details of buses, budgets, and schedules, Superintendent Michael Ward and his principals may spend their time talking about a recent article on organizational theory. On another day they might simulate how their leadership skills would be put to the test in different situations.

These discussions, Ward believes, are essential to making it possible for his school district to carry out ambitious reform goals. Granville County is one of two North Carolina pilot sites participating in Project Design, an effort to create teacher leadership and strengthen school site-based management. Among other reforms, the school district has pioneered flexible schedules and greater use of technology.

Ward helps shape the innovation mood by having definite ideas about the leadership skills needed in his schools and helping his administrators strengthen them. He uses "buzzwords" such as inclusiveness and empowerment, but he encourages discussions about when to do what. A believer in situational leadership, Ward says there are times when administrators should share decisions and times when they have to go it alone. "They have to be able to assess the situation, and know enough about leadership skills to make a good judgment about what will be best in a given situation," he explains.

Values check. Ward's administrators are asked to make a "philosophical checklist" when considering an action or activity. First, is the activity relevant to someone else besides themselves? If not, do they understand why? If it is related, the first consideration should be how to make it inclusive. Then, what expertise will the different stakeholders bring to the table?

Depending on his knowledge of organizational theories, Ward guides his administrators through decisions about when to be inclusive and when not to. Some decisions are not open to the group process, he concedes, often because of statutory requirements. But the style in the Granville County schools is to involve staff and parents in advisory roles, even when a responsibility cannot be fully delegated.

Ward subscribes to a focus on leadership skills and styles because "it builds commitment. It brings a greater enthusiasm to practice." And involving others is a way "to get better decisions and planning."

Ward goes out of his way to involve the business community in his school system. Paul Kiesow, director of Division Operations Support for Lenox China, works with Ward on a business industry advisory board. According to Kiesow, the superintendent

"wants to hear what you want to say. He then tries to incorporate that into the school programs."

One of the efforts on which Ward and Kiesow collaborate, Project Edge, encourages students to stay in school.

"Mike has us go into the classroom to speak to those students at risk of dropping out. Since that's been started, the (dropout) rates have improved tremendously," says Kiesow.

Ward's own style tends to be personal, relying on building up trust through strong interpersonal relationships. "It is easier to make hard decisions and tough calls and work with people in problem areas when you have their trust and confidence," he says. However, Ward does not view inclusiveness as a "soft" management style. "It is steeped in hard-core realities about what is needed to move organizations forward."

Leadership skills and organizational management have interested Ward for a long time. This is what he reads about, studies, and seeks to reinforce through coursework. But Ward's own personal style came before any intellectual framework. "I have an innate feeling that this is the way things ought to be," he says.

NOT A TYPICAL PRINCIPAL

"I am the systems thinker around here," says Patricia Bolanos, principal of Key School in Indianapolis, which she describes as dedicated to "valuing multiple intelligences among children." Bolanos insists she is as much a teacher and a learner as her staff. Indeed, when she and several colleagues asked the school board for permission to start their own school, they had in mind one run by teachers with no principal around. However, the board insisted that someone be in charge. Because she had the credentials, Bolanos took the job.

Breaking tradition. Those who launched Key School already shared a strong value system, so Bolanos' greatest leadership challenge was to build trust among her colleagues. "I did not want to be the typical school principal, with all the baggage that goes with that," she says. "I knew I had to reestablish myself with my colleagues and assure them I would be a nontraditional principal." Bolanos set up a team approach, sharing executive decisions with a resource teacher and the business/community liaison. To keep in touch with the classroom, she also continues to teach art.

It took two years for Bolanos and her colleagues to grow into shared decision making. Four years after the school started, she is able to say that "I feel if we disagree about something, we don't have to gripe about it. We have ways of dealing with problems."

A naturally reflective person, Bolanos capitalized on this trait to carve out unique leadership skills for Key School. She needed this ability—"to talk over things with the teachers, then go home and think about the issue, and come back with ideas about how to connect everything." That is her principal role, she says—to be the synthesizer.

The Key School philosophy is based on Harvard University professor Howard Gardner's theory that children exhibit at least seven forms of intelligence instead of the two, verbal and spatial, ordinarily addressed by the traditional school curriculum. To put this into practice—with Gardner's help—the school staff took on multiple tasks. Today, they are teachers, researchers, creators, evaluators, communicators, and pioneers on curriculum, assessment, and school organization.

In this rich environment, Bolanos sees herself as the chief designer, using the elements created by her staff to make a whole structure true to the values the teachers have agreed upon. Classroom teachers do not have opportunities to develop a systems thinking approach, says Bolanos, adding that acquiring such a whole view is "a developmental stage for practitioners."

This kind of leadership embodies some unique demands, Bolanos says, including:

- **Highly developed interpersonal skills.** She reads about organizational change, understands the psychology of people in changing environments, and knows her staff's needs.
- **A strong stubborn streak.** "Once a commitment is made by the group, you have to stay in there," she insists. "You persevere for the common good, not as a lone ranger rallying the troops, but as someone working behind the scenes who understands and can describe the reality of the whole school system."
- **Self-understanding.** Bolanos says that if leaders understand their strengths, they are better able to encourage others to use theirs.
- **Ability to recognize talents in others.** At Key School, recognition does not mean a traditional "award of the week" or public praise. Instead, "You talk to others about the good things their colleagues are doing so that such work gets into the conversation of the school." It is a matter of articulating the strengths of others "so that the awareness gets back to them," she says.

Her colleagues agree that Bolanos models what she says. According to William Doublas, assistant superintendent of the Indianapolis Public Schools, "Once she has a vision about something, she sees it through. To achieve what she has, it would take someone with that kind of tenacity."

Doublas emphasizes Bolanos' ability to rally support. "Her enthusiasm is contagious. She has a way of getting people . . . to buy into what she wants. That includes the staff, parents, the business (sector) and the community.

"She comes from a research base and she really does her homework," Doublas adds.

Bolanos' energy focuses on the future, always analyzing ideas in terms of what it would mean for the Key School children as they grow to maturity. Even while still in the throes of learning from their experiment, the Key School teachers planned the extension of their ideas into secondary grades. As an expression of their values, they are building an environment and curriculum for a middle-grade addition dedi-

cated to nurturing and directing young adolescents into becoming leaders in the Indianapolis community.

Leadership in this atmosphere, Bolanos believes, means that teachers see themselves as leaders, and also as part of a shared vision. Eugene White, deputy superintendent of the Indianapolis Public Schools, says Bolanos models this mix of qualities. "She's a collaborative, cooperative, facilitator-type of person.

"She's too busy to take credit for what she's done—she's always driven and concerned with the task at hand," White continues.

"No one here," Bolanos affirms, "can sort out an idea and say 'I did it on my own.'"

CHAPTER 3

WHAT IS MY STYLE?

Instruments To Measure Leadership

School administrators discussing their leadership styles may sound something like this:

"I'm an INTP."

"I'm an ISTJ traditionally, but in some situations I can be an ENTP."

Here, these hypothetical individuals are basing their descriptions of themselves on results from the Myers-Briggs Type Indicator, one of the many self-assessment instruments growing out of various theories on personal preference styles. In fact, almost every contemporary theorist working with leadership skills and styles has developed a measurement.

These instruments have become very popular recently, to the point where most feel comfortable talking about them. They have become a modern-day management tool, despite some claims of questionable validity, lack of follow up, and help for the user on interpreting the results.

As organizational consultant Donald Rollie points out, professionals who find the measurements helpful and interesting need time to internalize them and expand their meaning for their leadership situations.

One benefit of self-assessments, however, is that they may help identify a leader's style, reveal unrecognized qualities, or at least serve as a humbling experience.

Most leadership style measurements developed for business and industry focus on style itself: the different preferences, fields, and other considerations growing out of psychology. The measurements used for education professionals in particular tend to stress situations—the skills and preferences needed for tasks administrators typically face.

On Abraham Lincoln:

"He has shown I think sometimes an almost supernatural talent in keeping the ship afloat at all, with head steady. . . with proud and resolute spirit, and flag flying in the sight of the world, menacing and high as ever. I say never captain, never ruler, had such a perplexing and dangerous task as his, a truly democratic genius."

—Walt Whitman, 1935 editorial reprinted in *The Lincoln Legend*, by Roy P. Baker, 1969.

A few of these measurements are described in this chapter.

MYERS-BRIGGS TYPE INDICATOR

The Myers-Briggs Type Indicator is perhaps the most well-known self-assessment instrument. It analyzes people's preferences on four scales—where they like to focus their attention, how they prefer to take in information, how they like to make decisions, and the lifestyle they prefer. Information on these four areas is analyzed and reported as opposites. The preferences are:

Extroversion	or	Introversion
Sensing	or	iNtuition
Thinking	or	Feeling
Judging	or	Perceiving

The letters listed above correspond to the following characteristics:

E: You prefer to focus on the outer world of people and things.	or	**I:** You prefer to focus on the inner world of thoughts, feelings, or impressions.
S: You focus on the present reality and on the information brought by your senses.	or	**N:** You focus on possibilities and relationships and look toward the future.
T: You base your judgments on logic and objective analysis; tend to be more task-oriented.	or	**F:** You base your judgments on personal values; tend to be more person-oriented.
J: You like a planned and organized approach to life; tend to want things settled and decided.	or	**P:** You like an adaptable, flexible, and spontaneous approach to life; like to stay open to new experience.

The Myers-Briggs Type Indicator shows how consistently a person chooses one preference over another (everyone uses all of them at one time or another, the developers point out). Sixteen types are possible, using combinations of the preferences.

According to Consulting Psychologists Press, the publishers of the instrument, "each type, or combination of preferences, tends to be different in their interests and values." For example, a person whose preferences are classified as ENTP would have a profile that told him or her these things:

ENTPs are innovative, individualistic, versatile, analytical, and attracted to entrepreneurial ideas.

Contributions to the organization

- View limitations as challenges to be overcome
- Provide new ways to do things
- Offer conceptual frame of reference to problems
- Take initiative and spur others on
- Enjoy complex challenges.

Leadership style

- Plan theoretical systems to address organizational needs
- Encourage independence in others
- Apply logical systems thinking
- Use compelling reasons for what they want to do
- Act as catalysts between people and systems.

Preferred work environment

- Contains independent people working on models to solve complex problems
- Flexible
- Change-oriented
- Includes competent people
- Rewards risk taking
- Encourages autonomy
- Unbureaucratic.

Potential pitfalls

- May become lost in the model, forgetting about current realities
- May be competitive and unappreciative of the input of others
- May overextend themselves
- May not adapt well to standard procedures.

Suggestions for development

- May need to pay attention to the here-and-now
- May need to acknowledge and validate input from others
- May need to set realistic priorities and timelines
- May need to learn how to work within the system for their projects.

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ADMINISTRATOR PERCEIVER INTERVIEW AND PRINCIPAL PERCEIVER INSTRUMENT

The administrator measurement uses 70 questions in a structured interview setting; the questions center on 14 themes, such as delegator, catalyst, and ambiguity tolerance. The scoring is based on a taxonomy derived from responses from administrators considered outstanding by their peers. While it is not recommended as the sole basis for personnel decisions, many find the interview instrument to be helpful in making those decisions.

EDUCATIONAL ADMINISTRATOR EFFECTIVENESS PROFILE

With 120 items in 11 categories, this inventory, developed by Human Synergistics, Inc., and used for some time by the American Association of School Administrators and others, paints a picture of an individual's "overall approach to life." It is a self-assessment that also includes descriptions by others associated with the administrator. This feedback "is the beginning of open communication," state the ID inventory developers, advising administrators not to be overly sensitive about how others perceive them.

Using this inventory, administrators can follow up with further study and reflection. For example, they may focus their energy on the lowest score, either those they have given themselves or received from others. They also may gain perspective from the differences between how they describe themselves and how they are viewed by others, or the area where improvement would yield the greatest payoff in a current situation. Or, administrators may use recommendations given as part of the report.

Following is an example of how the results of the assessment are reported: Figure III-A graphically depicts a leader's dominant characteristics. In this example, the individual has scored high in the area of "humanistic-encouraging." This trait is one of several considered constructive. The person in the example also is affiliative, self-actualizing, and achievement-oriented. On the other hand, the individual does display the defensive characteristic of avoidance.

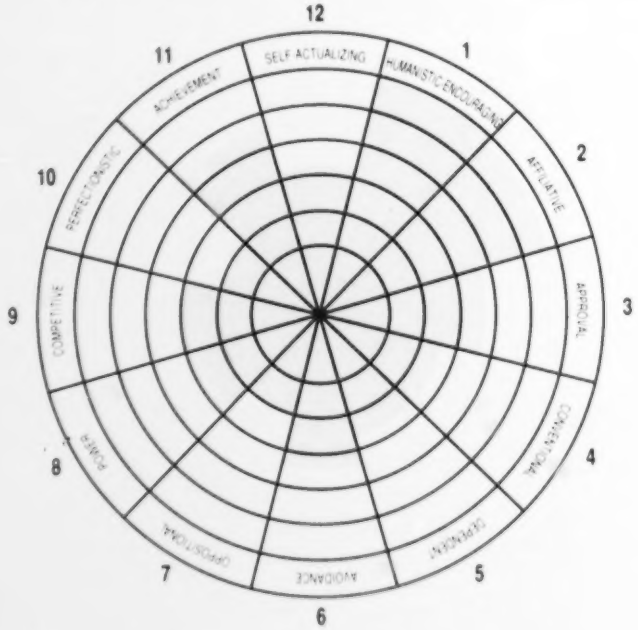
The report, given after the assessment, includes a "style review," and strategies for achieving "life in balance" between the constructive and defensive tendencies. The person described here was advised to slow down, confide in a few trusted colleagues, expect to make some errors in judgment, and start a journal, among other suggestions.

LEADERSHIP SKILLS INVENTORY

Intended for broader use—with students as young as grade four as well as adults—this is a self-administered and self-scored inventory of personal leadership

FIGURE III-A: LSI STYLUS I REPORT SELF-DESCRIPTION

The circumplex has six rings. Each ring represents a percentile score that compares you to a management population. The innermost ring measures the 10th percentile. If you score in this area, 90% of the population scored higher than you. The next ring measures the 25th percentile, where 75% of the population scores higher. The other rings represent the 50th, 75th, 90th and 99th percentile rings. These rings indicate that 50%, 25%, 10%, and 1% of the population score higher.



Developed by J. Clayton Lafferty, Ph.D.
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skills. Ordinarily, it is part of a leadership skills development training program sponsored by the inventory's developer.

NATIONAL ASSOCIATION OF SECONDARY SCHOOL PRINCIPALS ASSESSMENT CENTERS

Started in 1975, the centers focus on selecting new principals, not evaluating current ones. The center's work is based on candidates' performance in five simulated situations reflecting decisions they will have to make as principals. Two of these decisions are exercises placing the participant in the role of a

newly appointed school principal. One is a problem situation in which the participant must seek information, analyze it, and make an oral presentation within strict time constraints. Candidates also participate in leaderless group activities involving analysis and discussion of problems in a typical school district.

The participants are rated on 12 areas including problem analysis, decisiveness, stress tolerance, and organizational ability. The assessment usually takes three days, with the scoring done by trained assessors. Currently, there are 63 NASSP Assessment and Development Centers and 16,000 "graduates" of the assessment process, according to NASSP.

Mutually beneficial. The NASSP project has benefited both the administrators and receivers of the assessments. For example, the assessor training program, participated in by principals, central office personnel, and university professors, has enhanced the skills of the assessors. In some larger districts, the training program has become a part of staff development. The NASSP assessment process also is being used as a diagnostic tool for entry into administrative programs in many universities, according to Richard Flanary, administrator of training for NASSP.

THE PLUSES OF AN ASSESSMENT CENTER

Despite the time and costs required, NASSP's Richard Flanary sees many benefits from using an assessment center. In essence, it:

- Commits the organization to follow a selection procedure, which bases recommendations for placement and selection on standard measures of performance.
- Provides a uniform set of performance criteria as a basis for comparing skills and job-related qualities of candidates.
- Reduces the impression that placement and selection are based on "the good old boys" network.
- Improves the probability of selecting individuals who will consistently demonstrate high leadership skills on the job.
- Provides professional redirection for candidates who do not perform well during the assessment center activities.

SCHOOL PROFILE

Based on research by the Institute for Social Research at the University of Michigan, the school profile is very much a situational instrument and is based on similar instruments designed for use in the private sector. School

profiles look at school climate and the effectiveness of school leadership through surveys of students, staff, administrators, school board members, and parents. The University of Michigan profile assigns schools to one of four categories—authoritative, benevolent authoritative, consultative, or participative. Its purpose is to determine the current management environment and help move schools toward the participative model.

"Leadership is a public transaction with history."

— Arthur M. Schlesinger, Jr.

Some Caveats About Styles Measurements

Except for interviews or inventories using performance as an indicator, most measurements of leadership styles have limited use, according to Judith Arter, author of a consumer's guide on such instruments for the Northwest Regional Educational Laboratory.[16]

Arter does not recommend most of them for formal personnel decisions. Because the field is so new, validity is in its infancy, and the impact of the assessments on practice is difficult to determine. She even cautions against overemphasizing the usefulness of the measurements for self-assessment.

Arter recommends the following checklist for selecting a measure of leadership:

USEFULNESS

- Do the stated uses of the instrument match up with what you want to use it for? Some uses might include personnel selection, advancement, career development, informal self-evaluation, and training. Remember, evidence should show the instrument can be used for the stated purpose.
- Does the instrument or procedure assist with interpretation of results? Does it specify what profile of scores is "good" or "bad"? Is there evidence that a "good" profile is related to outcomes? Are there norms?
- If an individual shows a weakness in an area being assessed, does the instrument include advice or help with remedying the problem, such as training suggestions?
- Is the instrument or method easy to use, score, and interpret?
- Is the procedure or test within acceptable bounds of administrative time and cost? The well-known assessments described here take between five minutes to two days to administer. Time and cost should definitely be reviewed before undertaking any assessment instrument. Remember, the best instruments may be performance-based, which are time-consuming and costly. Low cost and ease of use don't necessarily mean the assessment is adequate.

TECHNICAL ADEQUACY

- **Reliability.** Was the instrument or procedure pilot-tested? What varieties of reliability estimates are available for the instrument and what are the values? Varieties include internal consistency, test-retest, and interrupter (for procedures that require observations). The more important the use of the instrument or procedure, the higher the reliability values need to be. For personnel selection or promotion decisions, the reliability should be above .90. For group or informal uses, the reliability should be above .75.
- **Validity.** For important decisions, greater effort is needed to determine validity. Consider the theoretical basis of the instrument. Do the supporting materials for the instrument or procedure provide a clear definition of leadership and a research-based rationale for the content of the instrument? Is there evidence that the content actually does measure what it claims? Is it the opinion of knowledgeable judges that the instrument measures the constructs claimed? To what extent can examinees "fake" the answers? Is there evidence that it is a measure of leadership and not of general intelligence or verbal ability?
- How well does the instrument relate to current effectiveness?
- What are the criteria for effectiveness—teacher morale, student achievement, absenteeism, or school climate? How well does the instrument predict future effectiveness?
- Are groups that should be different in terms of scores actually different?
- Does the instrument register differences in scores after leadership training?
- How do self-ratings correspond to the ratings of others?

(See Appendix for more information on these instruments.)

RELISHING CHANGE

If Marilyn Willis believed all the formal leadership style assessments she has taken, "I would be like Lucy in Peanuts, an obnoxiously efficient person." Despite her humility, Willis is gaining a reputation outside of Calloway County, Kentucky, where she is a middle school principal, for her drive and ability to help her staff make informed decisions about reform. But a Lucy she is not.

Willis may be intense, but she relishes making connections and building toward systemic change. She analyzes the barriers, enjoys

working on them with her staff in small-group discussions, and does it all with a sense of humor peppered by down-home pokes at establishment thinking.

Willis' school is involved in the multifaceted reform process mandated by the state of Kentucky. At the same time, it is part of the National Alliance for Restructuring Education, as one of three schools in the state chosen to participate in this high-powered, rapid, and comprehensive plan for reform.

She believes Calloway Middle School was picked in a competitive process by state officials to be part of the Alliance "because we have shown that we are able to survive the pressure of great change." The Alliance schools are going for deeper curriculum content, performance assessments, state-of-the-art technology, integration of school and community/health/social service resources, quality management, and strong school-to-work transitions.

Double lives. Principals in the vortex of reform lead two lives, according to Willis. "On the one hand, we have to keep things operating, we need to make sure there is enough toilet paper. On the other hand, we have this restructuring agenda that is constant and full of new ideas." Some might feel weighted down and grouse about it, but Willis thinks the staff in her school "is having a rocking good time. We love it."

With a staff that is 80 percent female, Willis is particularly concerned about the effect of gender on leadership issues in schools. To keep current on these issues, she has read considerable research outside of education about female CEOs. In the private sector, she has found, women have been in leadership positions long enough to provide longitudinal data.

Willis prefers to work through small groups, fostering honest conversations about goals, barriers, and visions. She believes it is her responsibility not only to create systemic change—to bring the big picture into focus—but also to get people to buy into such change. She starts with a small group of committed teachers or parents willing to experiment, then encourages the ideas to spread by using good feedback and evaluation.

Her focus is on creating the right climate. This means valuing risk taking and letting it be known that "it is okay to mess up." She is not comfortable with using strong control, and she doesn't mind others knowing more than she does.

Putting the pieces together. Willis and the Calloway Middle School staff, preparing for a presentation at a state meeting on school-site change, came up with a list of pieces they say will propel change. The list includes:

- A common vision that is outcomes-, rather than activity-driven.
- Quantum leaps rather than incremental ones; the latter tend to lock schools into little steps that do not create real change.
- An emphasis on both individual and teaming skills, not one over the other, with a sensitivity to teachers' needs.
- A recognition that change is "messy, bloody, weepy, nasty, and just plain scary."

- A climate where risk taking is fostered as long as it is in the context of agreed-upon goals.
- An understanding that other schools/models are helpful but, essentially, the most appropriate answers for problems and challenges come from within the school itself.
- The whole system is considered all at once. Each decision affects another, for example, changing calendars will change transportation, changing the curriculum will change the assessment.
- An understanding that power shifts because of changes, with greater empowerment and responsibility spread throughout the school.
- A good sense of humor!

Not having to worry about power-mongering makes Willis' job easier, but at times she admits that it can be a disadvantage. As a principal there are times "when I have to play hard ball, when I really have to push to get something done."

CHAPTER 4

BEYOND TINKERING: THE FUTURE OF LEADERSHIP

If schools are to be strong institutions in the next century, then school leaders must adapt their attitudes and skills. In fact, change in schools depends on changes in leadership skills. This was the thesis of the New Hampshire Think Tank. For two years, more than 30 education leaders—policy makers, administrators and teachers, school board members, representatives of business and higher education—studied and discussed what changes in leadership skills would be needed to create good schools for the future.

The Think Tank's report, "Leadership for Change,"[17] identifies six critical roles where the greatest changes will be seen:

- **Communicator.** Communication has always been an important part of an administrator's job, but restructuring requires intensive network building and that, in turn, calls for good skills at finely tuned listening, questioning, and synthesizing.
- **Facilitator.** Leaders must learn to help school sites deal with crises and conflicts by building consensus, understanding motivation, managing conflict, negotiating resolutions, and running meetings.
- **Analyst and Planner.** Leaders must enter a school district asking questions. It is critically important for education leaders to identify, analyze, and understand the local culture of both the schools and the community. Analysis alone is not enough. It must be used to develop strategic plans for the schools. A collective vision will have a strength that comes from group ownership to carry plans through to action.
- **Educator.** As before, school leaders will be educational leaders, but in a new way. Principals will be viewed as master teachers. Superintendents and other central office staff will have specific areas of expertise and will spend much more time sharing their expertise with school-based teams.
- **Technologist.** School leaders need to use technology to manage student data, initiate changes, and monitor budgets. They need to embrace new

technology for classrooms and understand how technology can reform the way students learn.

- **Politician.** School leaders need to develop more sophisticated political knowledge and skills. They need to understand the official and unofficial political avenues in their town, their state, and at the federal level.

The greatest barrier to school change, the Think Tank decided, is attitudinal, both among educators and among the public. Some educators see no need for fundamental change, others see too many barriers. The public has little understanding of higher order thinking.

New Breed/New Skills

Everyone needs retraining, "especially in the philosophy and practice of collaboration," the report said. However, time and the availability of programs addressing these areas are limited.

Furthermore, all players need to redefine their roles. For example, school boards should view superintendents as professional consultants, and superintendents and principals should learn to become leaders rather than managers. And, finally, the public needs to be actively involved in creating change.

The Think Tank report sees some schools and districts in the throes of "the long, complex process of restructuring." Many, however, have just begun talking about it. The difference between the two, it says, may often be found in the local educational leaders. "Without clear and consistent commitment of school leaders," concludes the report, "restructuring education to meet the needs of the 21st Century is doomed. A critical first step in changing education is to give administrators the skills and understandings necessary for the task."

Styling the Training

In most cases, learning about leadership styles occupies only a small corner of educational leadership programs. However, the crossover between skills and styles and the growing emphasis on understanding organizations and situations is shedding new light on the subject. Good preparation programs are up to date on the research on leadership styles and the changing nature of school leadership.

As most school administrators agree, what they actually do in their jobs too often does not mesh with their training and preparation. Academicians often assume a grounding in theory is the best way to get ready to lead. Administrators, however, often find themselves immersed in making decisions daily on matters not obviously related to the theories they learned.

This is an old complaint, with a new twist. "Radically different schools need radically different leaders," contends a report from the National LEADership Network Study Group on Restructuring Schools. The report calls for dramatic changes in the syllabus, setting, and process for administrative training.

Mastering Fate

Further, the study group acknowledges the need for general knowledge about leadership skills and styles, but adds that a good leader of a restructuring school will define the situation, not be defined by it. According to its report, "Developing Leaders for Restructuring Schools,"[18] the LEADership group states:

> Where the so-called situational leadership model prescribes given styles or skills for given situations, we suggest there can be no such one-to-one correspondence, nor can situations or styles be prescribed. Instead, out of the myriad possibilities within an organization's stream of experience, the leader defines the situation and produces the appropriate response to it as a single act borne of experience, knowledge, insight, and confidence.

Be realistic. An ideal syllabus, moving from site change to restructured systems, and an action-oriented and continuous process of leadership development outlined by the Study Group may be highly desirable, but these practices will take time to design and implement. Enlisting support, fostering enthusiasm, and changing old ways are difficult, time-consuming processes. For example, one study of University Council for Educational Administration campuses found that only 25 percent of them used assessment centers—not a new idea, certainly—and that interest in assessment centers among the universities generally was low.

In the meantime, most administrators may have to turn to alternative sources for the latest knowledge and training on leadership.

THERE MUST BE A WAY

Jerry Parker, superintendent at the Pekin, Illinois, Elementary School District, is no stranger to frustration. "I knew the ideas I supported were good, but there was so much resistance to change. I decided there had to be a way to get these ideas across."

To do so, Parker has learned to be an enabler rather than an initiator. For example, he has "enabled" his junior high school to become part of

the Coalition of Essential Schools, an innovative national network that requires rethinking on several dimensions—the roles of teachers and students, the use of time, and the content of the curriculum.

First, he selected a principal who he believed had the trust of the teachers and enabling skills to encourage school staff to embrace the Coalition ideas. Only then did he try to convince the staff of the idea's worth.

In these times of intense transformation and radical reform, Parker believes it is no longer appropriate that superintendents be the central figures for all innovations. "My role is to create a climate where others can flourish and to celebrate what they do," he says. He has adopted this style, not out of unselfishness, but because "it is more fun to be part of a district where there is a whole cluster of leaders."

First, leaders must let staff know what they want and expect. This is the initiation and **promoting** phase, and includes detailing expectations, challenges, and parameters of their jobs, as well as supporting and encouraging others to excel.

The second phase of empowering is **developing** ideas. Parker sees a need for discrete skills in each of these phases and has developed a list of behaviors he looks for in school leaders (see Figure IV-A).

FIGURE IV-A: EMPOWER

Promote	Develop	Sustain
Expect	Encourage	Praise
Expose	Facilitate	Appreciate
Identify	Accept	Recognize
Challenge	Coach	Reinforce
Inform	Connect	Synergize
Nourish	Observe	Reward
Question	Cultivate	Honor
Foster	Provide	Cheer
Free	Respond	Cheerlead
Inspire	Assist	Celebrate
Stimulate	Collaborate	Rejoice
Elicit	Support	Display
Parameters	Anticipate	Report
Persist	Protect	Exhibit

Celebration—or sustaining—is the final phase of the three stages of leadership development Parker uses to guide his administrators and many teachers. The celebration function of leadership is one of the most neglected, according to Parker. "Even if people's ideas do not go anywhere, it is important to celebrate their efforts. I positively reinforce anyone who is providing leadership," he says.

Parker mostly looks for enablers to head his 10 schools. Each building has a leadership team that is encouraged to develop a distinctive character for the building—"no cookie-cutter schools here," says Parker.

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Essential to creating unique schools, however, is good information. Parker believes it would be "horrible" to give up his decision-making authority to schools without also sharing the knowledge they need to start constructing a school culture. To do so, he conducts informal classes on leadership skills for promising teachers and others.

To Kathie Sayles, president of the Illinois Association of Teachers, Parker's goals are evident in district action. "Dr. Parker is interested in our ideas and encourages risk-takers to try new things. He tells us to step out on a limb and he won't chop it off. We might chop ourselves off—but he won't do it!"

The board of education and the community have a very collaborative relationship, she explains. Recently, the district was forced to make $575,000 in budget cuts. A 26-member panel was formed with representatives from the board, the teachers' association, central office, and the building principals. "We brainstormed and hashed out ideas, starting in November. By January, we had a prioritized list of cuts. The list was opened to the public. In March, the Board was able to take final action. We all knew we were there to make the cuts that would have the least impact on the children," Sayles says.

Learning on the job. None of these techniques or Parker's assessment of what makes him a successful leader came from a college course. He scours every book on leadership and organizational theories, attends courses and academies—"anything that will give me ideas about how to behave in a more open and facilitative way."

While he is tuned in to theories of leadership and has taken some leadership inventories, he believes leadership can only be proven in the long run. In an emergency, a leader needs to be authoritative and take charge; other times his or her role is to help others reach consensus. Sometimes, the role is "to get out of the way," he says.

In good company. The research base for being an enabling leader in a time of change is growing, Parker believes. Within five years, he predicts, "this type of leadership will be mainstream. Administrators unable to function this way will not survive."

Where To Learn About Styles

During the 1980s, the national network of state-based LEAD centers generated academies, programs, and publications, some of which have become institutionalized. For example, the California School Leadership Academy pioneered an organizational setting in which the skills studied in academia are strengthened at the site because of training provided to both the host site and training supervisors. Under this plan, administrators receive follow-up training while on the job.

INSTITUTES OF HIGHER LEARNING

The National Center for School Leadership, at the University of Illinois/Urbana-Champaign, is a federally financed research and development center, which focuses on how school leadership can improve student motivation and learning. For example, center researcher Dianne Ashby is studying a mentoring program to help administrators continue their professional education. Through the Illinois Administrators' Academy, she pairs a practicing administrator with a leadership analyst. Together they examine data on five dimensions of instructional leadership—defining mission, managing curriculum, supervising teaching, monitoring student progress, and promoting instructional climate.

"Our people demand democracy. Our country, which continues to bleed and suffer pain, needs democracy. It cries out for the. . . freedom to speak of freedom. . .We fight for a future in which all shall—without regard to race, color, creed, or sex—have the right to vote."

—Nelson Mandela, June 26, 1990

ASSOCIATIONS

Associations provide a myriad of publications, seminars, and short courses on leadership and leadership styles. The American Association of School Administrators, through its National Academy for School Executives, offers courses in systemic leadership, consensus-building, creating principle-centered schools, leadership in restructuring schools, total quality management, and more.

ESPECIALLY FOR URBAN LEADERS

With the longevity of administrators in urban districts distressingly short, and the pipeline to those positions drying up, two activities focusing on developing leadership for urban schools recently have been launched:

- **The Urban Superintendent Program**, at the Harvard Graduate School of Education, compresses two years of academic work into one and requires an internship and community service project. In order to build a supportive network, each year's cohort in the program keeps in touch via electronic mail.
- **Superintendents Prepared** is a one-year program, beginning and ending with summer institutes, intended to draw professionals from a variety of fields into preparation for leadership in urban districts. Funded by several foundations, the program is managed by three Washington-based groups—the

Institute for Educational Leadership, the Joint Center for Economic and Political Studies, and the McKenzie Group. Using mentors and intensive study of large, complex organizations during the school year, this program aims to prepare promising urban leaders for the superintendency.

Both the Urban Superintendent Program and Superintendents Prepared focus on leadership skills and on understanding styles. The latter program goes further, exposing its candidates to an "upward bound" program early on where they assess themselves and each other on their leadership strengths and weaknesses.

MAKING PREPARATION MEANINGFUL

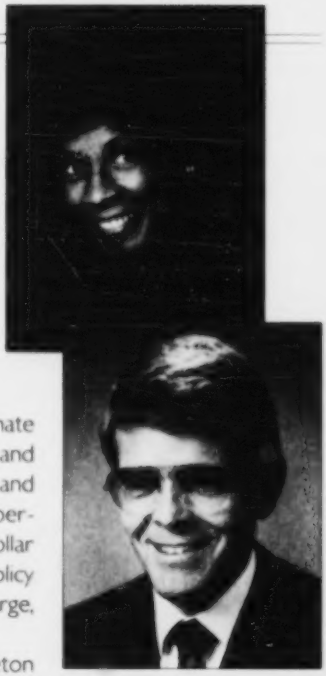
Too many groups involved with the preparation of principals have overlapping agendas, according to the National Association of Secondary School Principals. It names at least five stakeholders—university academicians, state agencies, school districts, professional associations, and a cadre of other local groups, including assessment centers, principals' academies, and unions. NASSP, in its report, "Developing School Leaders: A Call for Collaboration," calls on state agencies to take the lead role in bringing the stakeholders together to develop a consensus on what constitutes quality leadership in schools and in how that leadership should be prepared.

The report lists five principles for professional development of school principals:

- Principals must be the central actors in their own professional development; responsible participation in professional growth leads to professional self-determination.
- Stakeholders, including practitioners, must work collaboratively to identify the elements of quality and the standards and means for achieving quality in the development of school leaders.
- Stakeholders, including principals, must engage in continuous and joint inquiry to ensure that professional development meets the actual demands of the workplace and influences the actual performance of school leaders and their schools.
- Stakeholders must coordinate their professional development efforts to enable principals to receive timely support and develop knowledge and skills appropriate to the needs of the individual, his or her school, and the profession.
- A more effective professional development system for the 1990s and beyond requires economy of effort and much greater collaborative implementation by stakeholders to ensure that the principal, the profession, and the entire educational enterprise are best served.

The report was prepared by the NASSP University Consortium, a group of university professors, and by James Keefe, NASSP director of research.

LEADING IN TANDEM



(This profile was written prior to the appointment of Thomas Payzant in 1993 to be the Assistant U.S. Secretary for Elementary and Secondary Education.)

The coffee and rolls are set out early in the library of a San Diego middle school this sunny, weather-perfect January day, awaiting the weekly Monday meeting of the district's top leadership. These meetings, preceding those of the more broadly representative Superintendent's Cabinet, alternate in schools around the city. The discussion is lively and full of give-and-take. Superintendent Thomas Payzant and his deputy, Bertha Pendleton, lead the assistant superintendents through items ranging from multimillion-dollar budget cuts to the district's non-discrimination policy against homosexuals. It is a typical agenda for a large, diverse urban district.

In this and the Cabinet meeting, Payzant and Pendleton use complementary styles for the same focus—making their growing, constantly challenged system do what is right for children.

Payzant was a superintendent by age 27 and had served in three increasingly larger school systems before coming to San Diego. Some claim he was brought in as an "outsider" to reorganize the district.

Pendleton, on the other hand, worked her way up in the school system from teacher to compensatory education director. When Payzant formed a new team, he looked for those in leadership positions whom others trusted. He selected Pendleton to be an area superintendent, then his deputy.

One of the skills Payzant believes he handles well is picking good leaders to work with him. When he created the deputy position for Pendleton, he already knew she could manage the role he envisioned—to handle situations as he would (Payzant was beginning to spend more time on the national scene), to use her knowledge of the school system as a link for top officials to a growing decentralized system, and to coordinate the many initiatives started both from the bottom and from the contacts brought into the district by Payzant. In addition, he believes Pendleton serves as a "balance"; she is female, and an "insider"; while he is male, and from outside the district.

Day of reckoning. The interview with a school board, Payzant believes, "is the most important time a superintendent will ever spend with a board." That is when a candidate for the job makes it very clear what expectations and capabilities

he or she brings to the district and how these match what the board wants. Payzant himself took this opportunity to lay out his ideas, presenting the board with a reorganization plan before he even arrived, and was given the go-ahead to become a change agent in the district.

Payzant used this model of leadership for the first five to six years in San Diego, combining "the authority of the office and coalition building to get the job done." He was the catalyst for changes emerging from the central office.

In the last five years of his superintendency, however, Payzant played a different role in restructuring. Admitting that the top-down approach failed to create "dramatic breakthroughs" in student achievement or even to keep up with the growing demographic and social challenges facing the San Diego schools, Payzant took a different tack. He became "very much a part of a leadership team that establishes goals and expectations for the district but really focuses on actual strategies that raise expectations for teaching and learning in schools."

Being part of a team is a much more challenging leadership role, he says, because it takes more time and finesse. However, "if it is done well, people participate in a meaningful way on making substantive decisions—and that promises better results in classrooms."

Be true to yourself. This change in style was carried out with Payzant's basic values intact. He cautions against using "situational leadership styles" as too simplistic a view. "That phrase has always bothered me," he admits, "because sometimes it connotes putting your finger up in the air to see which way the wind is blowing."

Although he is sensitive to diversity in ideas and styles of those around him, he still maintains a core of values in his relationships as a leader of others.

Wearing many hats. To say that Payzant is the ambassador for the school district on the national and state scene while Pendleton tends the fires back home is superficial. Both administrators are well-known outside of the school district. Both know the intricacies of the school system. Although he does not make as many school visits as when he first arrived, Payzant fits his knowledge of individual school situations into large policy contexts for the school district. Pendleton layers in the practical considerations.

Overlapping styles. Payzant and Pendleton describe themselves as having "directive" styles, but there are nuances. "I tend to use data a lot and push people at an intellectual level before I get to the pragmatic side," says Payzant. His deputy praises his "conceptual thinking" in which "he sorts out and frames issues." But she believes she tends to be more direct than he, cutting through to the practical heart of issues at meetings. Her knowledge of the school system allows her to have "an instinctive insight on how things will work out." Actually, she says, "we are on a continuum. He is at the conceptual end and I am on the analytical end, but there is a lot of overlap in between."

Both are strong advocates for children. Their agreement on key issues is so evident that at the education center (the central office) and Cabinet meetings, there is no whispering or asides between them. They speak out with one voice, although

Payzant credits his deputy with being especially forceful if decisions are about to lose sight of the needs of certain groups of students.

This compatibility of styles shows up under stress. Observers of the working relationship between Payzant and Pendleton comment they have never seen them lose their tempers around others, but they have ways of showing anger. Payzant begins to ask increasingly specific questions; Pendleton becomes much more directive.

Both have learned to deal with personal sensitivities. A superintendent, says Payzant, "has to be strong and independent enough to take some risks and not be mortally wounded or overly defensive when things don't go well." In the long run, he has learned, this gives a leader "a lot more credibility than if you try to run from mistakes or cover them up." He also maintains a collegial, but not always a personal, relationship with colleagues, believing this is best for the organization in the long run.

Pendleton, who remembers being "basically shy," had to teach herself to be more direct and to deal with large groups, but she has remained highly accessible, a good listener, and a problem solver on personal and organizational levels.

What do others think about this team? The most frequent description used by those who watch and work with them is that their partnership is "one of integrity."

CONCLUSION

Look closely at the various profiles used in this discussion of leadership styles and you'll find some similarities and some differences.

No one profile of a leader for change emerges from these portraits, but some similarities exist that may not show up on traditional measures of styles. In general, these leaders of vision:

- **Are open-minded and flexible.** They remain sensitive to assessments of their own leadership styles, not taking any single assessment tool as the final word. As well, they rely on the opinions of others, sharing decision making and other responsibilities. Today's leaders facilitate, enable, and empower, not dictate.
- **Keep current in their field.** They all consider leadership an interesting field to study on their own, analyzing their own styles carefully, seeking to be better informed about theories and applications of them to the educational setting; leadership is an intellectually challenging idea to them.
- **Rely on a personal core of values.** Their situations have changed over time, from researcher to administrator, from teacher to administrator, from small districts to larger ones, but they carry with them a consistent set of values regarding how they interact with others that forms the basis of their leadership skills. Their core values on leadership have taken a long time to evolve; thus, they are strongly integrated into their personal philosophies and into their relationships with others.
- **Are knowledgeable about leadership in general.** They are familiar with the literature regarding leadership outside of the education field, especially general theories for organizations undergoing change. But, as with the literature on leadership styles, they shape the information to fit their needs.
- **Foster leadership in others.** They extend their interest and study of leadership to those with whom they work closely, seeking opportunities for others to understand their strengths and weaknesses and to develop into strong leadership teams.
- **Enjoy their work.** They enjoy leading, do it with self-confidence, and allow themselves to learn from mistakes.

All of these require what may be the most useful trait of all—a self-effacing sense of humor that balances the demands for constant leadership skills made upon them.

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ACKNOWLEDGMENTS

Leadership Styles was written by nationally-known education writer Anne Lewis, whose works for AASA include *Restructuring America's Schools*, *Learning Styles*, and many others. Ms. Lewis is a Washington columnist for *Phi Delta Kappan* and a consultant to the Education Writers Association.

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APPENDIX

LEADERSHIP STYLES INSTRUMENTS

Instrument	Focus	Type	Adm. Time
EDUCATION SPECIFIC			
Administrator Perceiver Interview (1979)	Administrator functions, rapport with staff, effect on school climate	Interview	60 min.
Educational Administrator Effectiveness Profile (1984)	Administrative behavior	Self-report Other report	30 min.
Leadership Skills Inventory (1985)	Ages 10 to adult; administration and leadership skills and traits	Self-report	45 min.
NASSP Assessment Center (1985)	Administration and leadership skills; traits of K-12 principals	Performance	2 days
Profile of a School: Staff Questionnaire (1986)	Administrator Style—Authoritarian, Benevolent-Authoritarian Consultative or Participative	Student, Staff, Parent, School Board and Superintendent Effectiveness Questionnaire	40 min.
GENERAL ACROSS BUSINESS AND INDUSTRY			
Human Resources Development Report (1987)	Leadership Style and Traits	Self-report	45 min.
Leader Behavior Analysis II (1985)	Leadership Style	Self-report Associate report Subordinate report	20 min.
Leader Behavior Questionnaire (1988)	Leader Effectiveness	Self-report Associate report	20 min.

Scoring	(1) Score Interp.	(2) Reliability	(3) Validity	Availability
Hand—Requires trained interviewers	Fair–Good Requires trained interviewers	Good	Fair–Good	Selection Research, Inc P.O. Box 5700 Lincoln, NB 68505
Hand	Excellent	Fair–Good	Fair	American Association of School Administrators 1801 N. Moore St. Arlington, VA 22209 (or) Association for Supervision and Curriculum Development 125 N. West St. Alexandria, VA 22314
Hand	Fair	Good–Excellent	Fair–Good	K.O.K. Publishers P.O. Box 605 East Aurora, NY 14052
Hand—Requires trained observers	Excellent—Requires trained observers	Excellent	Fair–Good	NASSP 1904 Associate Drive Reston, VA 22091
Machine	Good	Good–Excellent	Good	Rensis Likert Associates Wolverine Tower 3001 S. State St. – Suite 401 Ann Arbor, MI 48108
Machine	Excellent	Fair–Good	Good	Institute for Personality and Ability Testing P.O. Box 188 Champaign, IL 61820
Hand	Good	Fair	Fair	Blanchard Training and Development, Inc. 125 State Place Escondido, CA 92025
Hand	Excellent	Fair	Good	Organization Design and Development 2002 Renaissance Boulevard King of Prussia, PA 19406

Instrument	Focus	Type	Adm. Time
Leadership Behavior Description Questionnaire (1963)	Leadership Styles–Consideration and Initiating Structure	Self-report Subordinate report Superior report	20 min.
Leadership Opinion Questionnaire (1969)	Leadership Styles–Consideration and Structure	Self-report	15 min.
Leadership Practices Inventory (1988)	Leadership behavior Leadership activities	Self-report Subordinate report	15 min.
Least Preferred Coworker Scale (1967)	General Leadership Style	Self-rate Questionnaire	5 min.
Management Style Diagnostic Test (1973)	Managerial style Managerial effectiveness	Self-report	30 min.
Managerial Philosophies Scale (1986)	Leadership Style–Theory X & Y	Self-report	?
Multifactor Leadership Questionnaire–Form 5 (1989)	Leadership types Leadership behavior	Self-report Subordinate report	20 min.
Myers-Briggs (1983)	Leadership Style	Self-report Personality	60 min.
Nelson-Valenti Self-Scoring Survey of Education Leadership (1979)	Leadership Style–Bureaucratic, Technocratic, Idiocratic, Democratic	Self-report	30–45 min.
Situational Leadership (1979–82)	Leadership Style–Match to Employee Needs–Consideration and Initiative Structure	Self-report Subordinate report Observation	?
Styles of Leadership Survey (1986)	Leadership Styles–Directive, Supportive, Bureaucratic, Compromise, Integrated	Self-report	?
Styles of Management Inventory (1986)	Management Style–Directive, Supportive, Bureaucratic, Compromise, Integrated	Self-report	?

60

Scoring	(1) Score Interp.	(2) Reliability	(3) Validity	Availability
Hand	Fair	Fair–Good	Fair	Dr. Randy Babbitt Dept. of Management and Organization College of Bus. Administration Ohio State University Columbus, OH 43210 Barbara Roach (614) 292-9301
Hand	Fair–Good	Good	Good	SRA Inc. 155 N. Wacker Drive Chicago, IL 60606
Hand	Good	Good–Excellent	Good–Excellent	University Associates, Inc. 8517 Production Avenue San Diego, CA 92121
Hand	Good	Good	Good	F.E. Fiedler, Dept. of Psychology, University of Washington Seattle, WA 98195 (206) 543-2640
Hand	Good	Not given	Not given	Organizational Tests Ltd. Box 324, Fredericton, N.B. Canada E3B 4Y9
Hand	Fair	Good	Fair	Telecometrics International 1755 Woodstead Court The Woodlands, TX 77380
Hand	Good	Good	Good	Consulting Psychologists Press 577 College Avenue Palo Alto, CA 94306
Hand Machine	Good	Fair–Good	Good	Consulting Psychologists Press 577 College Avenue Palo Alto, CA 94306
Hand	Fair–Good	Fair–Good	Good	Management Research Assoc. RR 25, Box 26 Terre Haute, IN 47802
Hand	Fair	Not given	None given	University Associates, Inc. 8517 Production Avenue San Diego, CA 92121
Hand	Fair	Fair	Fair	Telecometrics International 1755 Woodstead Court The Woodlands, TX 77380
Hand	Fair	Fair	Fair	Telecometrics International 1755 Woodstead Court The Woodlands, TX 77380

Instrument	Focus	Type	Adm. Time
XYZ Inventory (1975)	Leadership Style–Theory X, Y & Z	Self-report	20 min.
RESEARCH INSTRUMENTS			
Administrator Professional Leadership Scale (1974)	Principal leadership effectiveness	Subordinate Questionnaire	?
Humanistic Leadership Questionnaire (1981)	Principal Leadership Style–Humanism	Self-report Questionnaire	?
Instructional Activities Questionnaire (1984)	Principal Instruc. Functions	Teacher & Principal Rating	?
Leader Authenticity Scale (1982)	Principal Authenticity	Subordinate Questionnaire	?
Leadership Climate Inventory (1985)	Principal Effectiveness	Subordinate Questionnaire	?
Management Behavior Survey (1981)	General Management Function & Style	Subordinate Questionnaire	?
Management Opinionnaire (1980)	Superintendent Management Style–Theory X, Y & Administrative Grid	Self-report Questionnaire	?

Source: Arter, Judith. *Assessing Leadership and Managerial Behavior*, Northwest Regional Educational Library, Portland, Ore. 1990.

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Scoring	(1) Score Interp.	(2) Reliability	(3) Validity	Availability
Hand Machine	Fair	Poor–Fair	None	Organizational Tests, Ltd. Box 328 Fredericton, New Brunswick CANADA
Hand	Fair	Not given	Fair	Bruce Thompson, Refinement of the Administrator Professional Leadership Scale ERIC ED 175–911
Hand	Fair	Not given	Not given	C. Eagleton and R. Cogdell The Humanistic Leadership Model: A Pilot Investigation *Ed. Res. Quarterly*, 5, 1981, 51-70
Hand	Fair	Not given	Fair	Terry Larsen University of Colorado Boulder, Colorado
Hand	Fair	Excellent	Good	James Henderson and Wayne Hoy Leader Authenticity: The development and test of an operational measure ERIC ED 219–408
Hand	Fair	Excellent	Fair	P. Watson, J. Crawford and G. Kimball. The school makes a difference: Analysis of teacher perceptions of their principal and school climate. ERIC ED 266–529
Hand	Fair	Fair–Good	Fair	Gary Yukl, Leadership in Organizations, Englewood Cliffs, N.J.; Prentice-Hall, 1981. Also in N. Pither and W.W. Charter, Principal influence ont eacher behavior. Substitutes for leadership. ERIC ED 251–941
Hand	Fair	Good	Not given	W.E. Sistrunk and E.R. Jenkins. The preferred leadership style of school superintendents. ERIC ED 197–430

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